

Docket No. 828-002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Jerome S. Golden Examiner: Chencinski
Serial No. : 09/541,197 Group Art Unit: 2768
Filed : April 3, 2000
For : SYSTEM AND METHOD FOR PROVIDING SECURE RETIREMENT BENEFITS
VIA A CONVERSION PROCESS

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop DD
COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED
MAY 13 2003
GROUP 3600

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application.

The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:

A:

B:

2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.

3. ☐ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior ☐ Continuation, ☐ Divisional or ☐ Continuation-In-Part application under 37 C.F.R. §1.60, U.S. Serial No. _____, filed _____.

4. ☒ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:

☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application.

☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application.

☒ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits.

5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.

6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):

☐ A check in the amount of \$240.00 is enclosed in payment of the fee.

☐ Charge the fee to Deposit Account No. 19-2825. Order No. _____. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

7. ☐ A fee is due under 37 C.F.R. §1.17(I)(1) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:

- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
- b. the attached petition requesting consideration of this Information Disclosure Statement; and
- c. the fee due under 37 C.F.R. §1.17(I)(1) which is paid as set forth in paragraph 10 below.

8. ☐ A fee is due under 37 C.F.R. §1.17(I)(1) for this Information Disclosure Statement since it is being filed in compliance with:

- a. ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue;
- b. ☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.
- c. The fee due under 37 C.F.R. §1.17(I)(1) is paid as set forth in paragraph 10 below.

9. ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

10. ☐ A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(I)(1).

[] Charge the fee due under 37 C.F.R. §1.17(I)(1) to Deposit Account No. _____ Order No. _____

A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

[X] The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 19-2825, Order No. 828-002.

A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

SOFER & HAROUN, L.L.P.

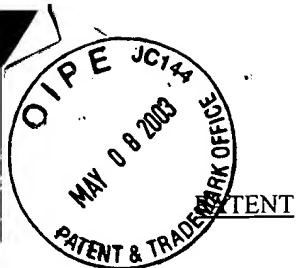
By: Joseph Sofer
Registration No. 34,438

Dated: 5/5/03

Signature 

Mailing Address:

Joseph Sofer, Esq.
SOFER & HAROUN, LLP
317 Madison Avenue, Suite 910
New York, New York 10017



Docket No. 828-002

2758
#2161
#9 wa
6-3-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Jerome S. Golden
Serial No. : 09/541,197 Examiner: Chencinski
Filed : April 3, 2000
For : SYSTEM AND METHOD FOR PROVIDING SECURE RETIREMENT
BENEFITS VIA A CONVERSION PROCESS

CERTIFICATE OF MAILING (37 C.F.R. 1.8a)

Mail Stop DD
COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED
MAY 13 2003
GROUP 3600

Sir:

I hereby certify that the attached Supplemental Information Disclosure Statement, Form PTO-1449, 1 Reference,
and Return Postcard along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing
are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-
class mail in an envelope addressed to the: Mail Stop DD, COMMISSIONER FOR PATENTS, P.O. Box 145,
Alexandria, VA 22313-1450

Respectfully submitted,

SOFER & HAROUN, L.L.P.

By: *Sandria Cirillo*
Sandria Cirillo

Date: 5/5/03

Mailing Address:

SOFER & HAROUN, L.L.P.
317 Madison Avenue, Suite 910
New York, New York 100167
Tel:(212) 697-2800
Fax:(212) 697-3004